

REQUEST FOR QUALIFICATIONS

Issued September 20, 2004

**Everett HOV
Design-Build Project**

Statements of Qualifications Due:

October 29, 2004

TABLE OF CONTENTS

CHAPTER 1	INTRODUCTION.....	1
1.1	Request for Qualifications	1
1.2	Submitter Information.....	1
1.3	Abbreviations	1
1.4	Definitions.....	2
CHAPTER 2	BACKGROUND INFORMATION	4
2.1	Estimated Cost	4
2.2	Maximum Time Allowed.....	4
2.3	Project Goals	4
2.4	Conceptual Design	4
2.5	Project Scope and Status	4
CHAPTER 3	PROCUREMENT PROCESS	9
3.1	Process Overview.....	9
3.2	Project Schedule.....	9
3.3	WSDOT Point of Contact	9
3.4	Ex Parte Communications.....	10
3.5	Voluntary Meeting for Potential Submitters.....	10
3.6	Questions and Clarifications; Addenda	10
CHAPTER 4	TEAMING PARAMETERS.....	12
4.1	Major Participant	12
4.2	WSDOT Consultant/Technical Support	12
4.3	Organizational Conflicts of Interest.....	12
4.4	Team Continuity and Changes to Organizational Structure	13
4.5	Equal Employment Opportunity	13
4.6	Minority and Women’s Business Enterprises Participation	13
4.7	Restrictions on QA Staff.....	13
CHAPTER 5	SUBMITTAL LOGISTICS AND FORMAT	15
5.1	Due Date, Time and Location	15
5.2	Organization.....	15
5.3	Format	16
5.4	Quantities	17
CHAPTER 6	CONTENT OF STATEMENT OF QUALIFICATIONS	18
6.1	Section 1: Introduction Letter	18
6.2	Section 2: Legal	19
6.3	Section 3: Financial.....	20
6.4	Section 4: Key Personnel	21
6.5	Section 5: Submitter Experience.....	27
6.6	Section 6: Project approach	29
CHAPTER 7	EVALUATION PROCESS.....	31
7.1	SOQ Evaluation	31

7.2	Scoring Summary.....	32
7.3	Determining Short-list	33
7.4	Notification of Short-listing.....	33
7.5	Debriefing Meetings	34
CHAPTER 8	PROCUREMENT PHASE 2	35
8.1	Request for Proposals	35
8.2	Pre-Proposal Meeting.....	35
8.3	Proposals Submitted in Response to the RFP	35
8.4	Proposal Evaluations.....	35
8.5	Stipends.....	35
CHAPTER 9	PROTEST PROCEDURES	36
9.1	Protests Regarding RFQ	36
9.2	Protests Regarding Responsiveness and Short-listing	37
9.3	Costs and Damages	38

FORMS

Form F, Key Personnel Matrix
Form A, Design-Builder Information
Form B, Design-Builder Certification
Form C, Design-Builder Safety Statistics
Form D, Summary Of Comparable Contracts In The Past 5 Years
Form E, Submitter's Organization Information
Form AA, Acknowledgement of Addenda

CHAPTER 1 INTRODUCTION

1.1 Request for Qualifications

The Washington State Department of Transportation (WSDOT) is hereby requesting Statements of Qualifications (SOQ's) from entities ("Submitters") interested in submitting proposals for the Everett HOV Design-Build Project ("the Project") in Snohomish County, Washington. By submitting a Statement of Qualifications, Submitters agree to be bound by the requirements of this RFQ.

Statements of Qualifications will be evaluated to determine a short-list of the most highly qualified Submitters with the capabilities to successfully deliver the Project. Submitters shall provide evidence, as described herein, of an organization that has all necessary capabilities including project management, quality management, obtaining environmental and other permits, environmental compliance, engineering, design, and construction.

The exact limits and scope of the Project are presently unknown pending completion of the environmental study. If a "build" option is selected, short-listed Submitters will be invited to respond to a Request for Proposals (RFP). The Department desires to retain the services of a Design-Builder to design, construct, and perform other services under a lump sum, fixed price design-build contract.

1.2 Submitter Information

Each entity that intends to submit an SOQ shall provide WSDOT's Contract Ad & Award Office POB 47360 Olympia WA 98504-7360 email: walkeke@wsdot.wa.gov with the name and e-mail address of its contact person. WSDOT will distribute addenda and other communications directly to identified contact persons, and will also post them on the WSDOT web site. The contact person will be responsible for distributing copies within its team.

1.3 Abbreviations

ATC	Alternate Technical Concept
BMP	Best Management Practice
BNSF	Burlington Northern/ Santa Fe Railroad Company
CFR	Code of Federal Regulations
DB	Design-Build
EA	Environmental Assessment
FHWA	Federal Highway Administration
IA	Independent Assurance
JV	Joint Venture
L&A	Landscaping and Aesthetics
MOT	Maintenance of Traffic
NCR	Non-conformance Report
QA	Quality Assurance

QC	Quality Control
QMP	Quality Management Plan
RCW	Revised Code of Washington
RFP	Request for Proposals
RFQ	Request For Qualifications
ROW	Right of Way
SOQ	Statement of Qualifications
SUE	Subsurface Utility Exploration
WSDOT	Washington State Department of Transportation

1.4 Definitions

Addenda Supplemental additions, deletions, and modifications to the provisions of the RFQ after the advertisement date of the RFQ.

Constructor An entity involved in the actual construction of the Project.

Department The Washington State Department of Transportation.

Design-Build (DB) A project delivery method by which the Department contracts with a single entity that has responsibility for the design and construction of a project under a single contract.

Design-Builder The entity selected pursuant to the RFP, that enters into the Contract with the Department to design and construct the Everett HOV Design-Build Project.

Independent Assurance (IA) Activities that consist of an unbiased and independent (of the Design-Builder or Project Staff) evaluation of all the sampling and testing procedures, equipment calibration, and qualifications of personnel (Design-Builder's or Department's) used in the Acceptance Program, including the Design-Builder's QC.

Major Participant See Chapter 4.1

Oversight – Those functions performed by the Department for verification that the Design-Builder's Work meets the Department's standards and guidelines for the contract.

Project The Everett HOV Design-Build Project

Proposal The offer from the Proposer in response to an RFP.

Proposer An entity submitting a Proposal for the Project in response to the RFP.

Quality Assurance (QA) All those planned and systematic actions performed by the Design-Builder necessary to demonstrate to the Department that the Design-Build Work complies with the Contract and that all elements of the Design-Build Work will perform satisfactorily for the purpose(s) intended.

Quality Control (QC) The total of all activities performed by the Design-Builder to assess design, production and construction processes so as to control the level of quality being produced in the end product. Components may include design reviews and checks, establishing procedures, calibrations and maintenance of equipment, shop drawing review, document control, production process control, and any sampling, testing, and inspection done for these purposes.

Request For Proposals (RFP) A written solicitation issued by the Department seeking Proposals to be used to identify the Proposer offering the best value to the State. This document is issued only to Submitters who are on the Short-List.

Request For Qualifications (RFQ) The written solicitation issued by the Department seeking SOQs to be used to identify and short-list the most highly qualified Design-Build Teams to receive the RFP for the Project.

Submitter An entity submitting a Statement of Qualifications for the Project in response to this RFQ.

Short-List The list of those Submitters that have submitted SOQs that the Department determines, through evaluation of the SOQ, are the most highly qualified and will be invited to submit Proposals in response to an RFP.

Statement of Qualifications (SOQ) The information prepared and submitted by a Submitter in response to this RFQ.

Verification Validation of the quality of the design-build product through sampling, testing and audit procedures. The Department, or a firm retained by the Department, will perform verification.

CHAPTER 2 BACKGROUND INFORMATION

2.1 Estimated Cost

The estimated cost of the design-build contract is approximately \$163 million. Presently, funding for the design-build contract is State funds only, from the State Nickel program.

2.2 Maximum Time Allowed

Substantial completion of the Design-Build Project is expected to occur as early as October 2007, and not later than October 2008. The RFP will define these parameters using A+B bidding.

2.3 Project Goals

The Department's goals for the project are:

1. Deliver the project within budget.
2. Achieve substantial completion by October 1, 2007 or sooner.
3. Achieve quality of design and construction equal or better than traditional design-bid-build.
4. Provide a safe construction site for workers and the traveling public.
5. Meet or exceed environmental requirements and expectations with no permit violations.
6. Foster confidence with the environmental permitting community in the design-build process.
7. Manage traffic to minimize disruption and inconvenience to the public during construction.
8. Maintain community support during design and construction.

2.4 Conceptual Design

The conceptual design of the project has been developed in conjunction with the ongoing Environmental Assessment and is subject to change pending the final results of the environmental decision process. If a build option is selected, the conceptual design based on the final environmental decision documents will be included in the RFP. The final alignments, grades, and other design features will be the responsibility of the Design-Builder.

2.5 Project Scope and Status

The following project scope is being provided to prospective Submitters to assist in developing a team with the expertise that is required for the project, in the event that the environmental process selects a build option. The Design-Builder will be responsible for management, design, construction, and warranty of the project. The design, construction, and warranty by the Design-Builder shall be done in accordance with applicable WSDOT guidelines and standards as required by the RFP. The intent is to permit flexibility in design (and subsequent construction) to accommodate processes, procedures, and innovative techniques that are preferred by the Design-Builder, as long as they are consistent with site conditions, good engineering practice, context sensitive solutions, and other standards, guidelines, and procedures identified in the RFP. The scope of work of the project presented below may or may not be the final scope of work as presented in the RFP.

2.5.1 Management

The Design-Builder is responsible for managing all aspects of the design and construction and other required activities included in the final scope of work contained in the RFP.

2.5.2 Co-Location

The Contract will require the Design-Builder to provide office space in a single location for the staffs of the Designers, Constructors, and the Department. Co-location will be mandatory.

2.5.3 Roadway

The final design documents shall be completed in English units using the most current version of Bentley's InRoads and MicroStation CADD products. The scope of work includes:

- Add a northbound carpool lane from Highway 526 to U.S. 2
- Add a southbound carpool lane from Marine View Drive to Highway 526
- Add northbound and southbound general purpose lanes from 41st Street to U.S. 2
- Change the current NB left off-ramp to Broadway to an HOV only SB-on and NB-off ramp
- Add a new NB right, two-lane off-ramp flyover to Broadway
- Other ramp improvements

The Design-Builder is responsible for final horizontal and vertical alignments, earthwork (excavation and embankment), super elevations, transitions, etc., as normally expected for freeway, ramp, and street construction.

2.5.4 Geotechnical

WSDOT will provide minimal roadway and structural geotechnical investigation to the Proposers. Limited boring logs and information will be provided. The Department will not accept responsibility for the accuracy of the information beyond the location investigated. If deemed necessary, Proposers may conduct additional investigation and testing to develop the Proposal Price. The Design-Builder will be responsible for doing all necessary investigation, testing, and design for slope stability, foundation design, wall design, and pavement design, in accordance with WSDOT standards and Manuals. The Design-Builder may be required to monitor certain geotechnical parameters such as on- and off-site groundwater movements, ground movements, and time settlement of embankments.

2.5.5 Structures

All structures will be designed and constructed to the applicable standards and as defined in the RFP. It is expected that 16 bridges will require widening. Additionally, three may require removal and replacement. There is one new structure for a two-lane, right-side, general purpose off-ramp to Broadway. One new pedestrian bridge is expected across BNSF tracks at the bottom of Main Street in Lowell that will serve the dual purpose of transporting stormwater and pedestrians. Mainline bridges will require bridge rail to be brought to current standards on both sides of the bridge. Mainline bridges will be required to convey stormwater pipes for the project's upgraded drainage system. The scope of work includes all retaining walls. Bridge girders for widened bridges will typically be required to be of the same type as existing, but a few specific bridges may be allowed to be steel. Other structure work may include cast-in-place and/or mechanically stabilized earth walls and stormwater treatment vaults.

2.5.6 Drainage

The RFP will provide a draft Stormwater Technical Report prepared by the Department for the environmental process. The scope of work will include evaluation of hydrology and

development of drainage requirements in accordance with WSDOT's Highway Runoff Manual. Design-Builder shall use MGS Flood software. All roadway runoff shall be collected and treated to "enhanced" treatment level before entering the Snohomish River. Discharge into the Snohomish River shall be at existing outfall locations, however, enlarging pipes at some outfalls will be required. A major line will be installed down Main Street in Lowell, to connect to a water quality treatment site to be designed and built by the Design-Builder on property provided by the Department that involves wetlands and potentially hazardous materials.

2.5.7 Pavement

The Design-Builder will be responsible for determining the pavement structural section in accordance with the WSDOT Pavement Design Manual. Roadway widenings shall be done with pavement type to match existing "in kind". The RFP will seek innovation in addressing the challenge of providing a smooth pavement when widening to match existing pavement, while at the same time providing a new-to-old pavement joint, which is smooth and does not create ponding problems. Existing Hot Mix Asphalt pavement on I-5 that remains in place shall be overlaid and will likely require grinding first. The RFP will include data from some cores of the existing Hot Mix Asphalt pavement shoulders.

2.5.8 Traffic Control and Maintenance of Traffic

The Design-Builder will be responsible for providing construction traffic control and Maintenance of Traffic (MOT). All plans will require an engineer licensed in the State of Washington to sign and seal the drawings. The Design-Builder will be required to have a full time Traffic Control Supervisor available to the project at all times. The MOT plans will need to be closely coordinated with the Department and Community Relations.

2.5.9 Signing and Traffic Marking

The Design-Builder will be required to develop signing requirements for the corridor. All traffic markings and materials will be required to meet the current WSDOT standards.

2.5.10 Lighting

The project will replace and/or upgrade all illumination for the corridor. The Design-Builder shall complete a photometric analysis and will be required to meet the current WSDOT standards for a 240/480-volt lighting system.

2.5.11 SC&DI

Fiber optic cable, cameras, vehicle detection loops, ramp meters, HOV bypass lanes at certain ramps defined by the Department, overhead variable message signs, and integration of SC&DI systems will be required. The Department will provide type, size, and location in the RFP for major features.

2.5.12 Signals

The project will include permanent signals and intersection lighting at Broadway and 41st St. SE. Temporary signal systems are anticipated due to construction impacts and the Department will provide permanent signal locations in the RFP.

2.5.13 Landscape and Aesthetics

The project is expected to include Landscaping and Aesthetics (L&A). During the environmental process, an effort will be made to coordinate the L&A concepts with the appropriate stakeholders and a conceptual L&A plan will be included in the RFP. It is expected that the Design-BUILDER will continue to coordinate with the stakeholders to finalize the L&A design.

2.5.14 Utilities

It is anticipated that the risk of utility relocation impacts on the project schedule will be divided between WSDOT and the Design-BUILDER. The precise division of this risk will be defined in the RFP. The Design-BUILDER will be required to coordinate the relocation schedule into the project schedule. Known utilities along the project will be identified in the RFP from the Department's SUE report. The Design-BUILDER will be responsible for coordinating design and construction activities with utility companies along the corridor. The Design-BUILDER may be required to develop Utility Agreements for WSDOT, and if so in accordance with Department procedures.

2.5.15 Right of Way

The final project Right of Way limits will be identified in the RFP. It is the intent of WSDOT that the Project will be limited to the ROW limits established for the Project in the environmental document. The Design-BUILDER shall design the project so as not to require additional Right of Way. All construction easements and construction permits shall be obtained by the Design-BUILDER in conformity with the Uniform Relocation and Real Property Acquisition Policies Act of 1970, as amended.

2.5.16 Survey

The RFP will provide base map information using a 3D Microstation .dgn file comprised of photogrammetric data, using vertical control of NAVD 88, and horizontal control of NADA 83/91. Conceptual design activities have established project control and a boundary survey of the corridor has been completed. The Design-BUILDER will be required to conduct all quality control and quality acceptance survey activities. The Design-BUILDER will be required to construct or reconstruct some monuments and ROW markers according to WSDOT's specifications and in accordance with WSDOT procedures. The Design-BUILDER will also be responsible for all surveying necessary for the control of all construction activities required by the contract.

2.5.17 Community Involvement

The Design-BUILDER will accomplish the following community involvement activities:

- Inclusion of the City of Everett, the Lowell Community, and the residential and business communities adjacent to the Project.
- The final design will be compatible with the community's values including but not limited to such items as structural aesthetics, landscaping, and lighting.
- Once construction activities begin, community coordination during construction will be required.
- Work and coordinate with stakeholders directly impacted by construction.

2.5.18 Public Information

The Department will lead strategic communications for the Project. The Design-Builder will provide the following communication efforts in collaboration with Department staff:

- Media and community relations to provide information about construction related inconveniences, including traffic, noise, closures, dust and debris.
- Develop, produce and distribute communication materials for the Project.
- Media and community relations regarding project progress and design-build contracting.

2.5.19 Environmental

The Department is in the process of doing an Environmental Assessment (EA) for the Project. The Request for Proposals will not be published until after the environmental decision document is approved and only if a build option is selected. It will be the Design-Builder's responsibility to ensure that all environmental mitigation requirements identified in the Project environmental decision document are met. The environmental decision document will be provided as an attachment to the RFP. The Design-Builder may be responsible for obtaining or finalizing permits associated with the construction, including but not limited to water quality, storm water discharge, storm water pollution prevention, and noise variances. The Design-Builder will be required to perform any reevaluation of the environmental decision document for work that exceeds the impacts identified within the environmental decision document.

2.5.20 Noise Walls

The Department will specify minimum beginning and ending stations for noise walls. The design-builder will design and construct noise walls between those stations to meet noise attenuation criteria provided by the Department in the RFP.

2.5.21 Quality

The Design-Builder will perform all quality control and quality assurance activities for construction and design. These will be further defined in the RFP and the Design-Builder's Quality Management Plan.

2.5.22 Warranties

The warranty period is expected to be 2 years on most items, 3 years for pavement.

CHAPTER 3 PROCUREMENT PROCESS

3.1 Process Overview

WSDOT will use a two-step procurement process to select the Design-Builder to deliver the Project. This Request for Qualifications (the “RFQ”) is issued as part of the first phase to solicit information, in the form of SOQs, that WSDOT will evaluate to determine which Submitters are the most highly qualified to successfully deliver the Project. WSDOT will short-list at least three and not more than four (if any) of the most highly qualified Submitters that submit SOQs. WSDOT may cancel or re-advertise this procurement at its discretion.

In the second phase, WSDOT will issue a Request for Proposals (the “RFP”) for the Project to the short-listed Submitters. Only the short-listed Submitters will be eligible to submit Proposals for the Project. Each short-listed Submitter that submits a proposal in response to the RFP (if any) is referred to herein as a “Proposer.” WSDOT may award a design-build contract (the “Contract”) for the Project to the Proposer offering the best value, to be determined as described in the RFP. WSDOT intends to incorporate Price+Time (A+B) bidding into the process of making the best value determination.

The Department plans to pay a stipend to all non-successful Proposers that submit a responsive Proposal.

3.2 Project Schedule

The following are the anticipated milestones leading up to Notice to Proceed. This schedule is subject to revision by addenda to this RFQ.

Action	Date
Issue RFQ	September 20, 2004
Voluntary Meeting for potential Submitters	October 7, 2004
Deadline for submitting RFQ questions	October 8, 2004
SOQ due date	October 29, 2004
Notify short-listed Submitters	November 12, 2004
Issue RFP	November 16, 2004
Mandatory RFP Q&A Group Meeting	TBA
Pre-Proposal Meetings	TBA
Proposals due	March 11, 2005
Announce Apparent Best Value	March 31, 2005
Notice to Proceed	May 2, 2005

3.3 WSDOT Point of Contact

WSDOT’s Project Director is the Department’s sole contact person and addressee for receiving all communications from potential Submitters about the Project. Except as permitted by Chapter

1.2, 9.1 and 5.1, all inquiries and comments regarding the Project and the procurement thereof must be made by e-mail or letter to the Project Director, as indicated below:

Bob Dyer
Everett HOV Project Director
Washington State Department of Transportation
PO Box 330310, Mail Stop 101
Seattle, WA 98133-9710
E-mail: dyerb@wsdot.wa.gov

3.4 Ex Parte Communications

Submitters are expected to conduct themselves with professional integrity and to refrain from lobbying activities. During the Project procurement process, commencing with issuance of this RFQ and continuing until award of a contract for the Project (or cancellation of the procurement), no employee, member, agent, advisor or consultant of any Submitter shall have any ex parte communications, directly or indirectly, regarding this procurement with any representative of WSDOT or the Federal Highway Administration, including their staff, advisors, contractors or consultants involved with the procurement, except for communications expressly permitted by this RFQ (or, subsequent to issuance of the RFP, except for communications expressly permitted by the RFP). Any verified allegation that a Submitter or Submitter member or an employee, agent, advisor or consultant of a Submitter or Submitter member has engaged in such prohibited communications or attempted to unduly influence the qualification of Submitters may be cause for the WSDOT to disqualify the Submitter or to disqualify the Submitter member from participating with the Submitter, all at the sole discretion of WSDOT's Project Director.

3.5 Voluntary Meeting for Potential Submitters

On the date indicated in the schedule in Chapter 3.2, the Department will hold an informational meeting for potential Submitters regarding this RFQ. Attendance at this meeting is not a prerequisite to being a Submitter. The meeting will be held from 2:00 to 3:00 PM, at the following location:

WSDOT Northwest Region Office
Cafeteria Conference Room
15700 Dayton Avenue North
Shoreline, WA

3.6 Questions and Clarifications; Addenda

Questions and requests for clarification regarding this RFQ must be submitted in writing to WSDOT's Project Director as described in Chapter 3.3. To be considered, all questions and requests must be received by 4:00 pm, Pacific Standard Time, on the date indicated in Chapter 3.2.

WSDOT reserves the right to revise this RFQ at any time before the SOQ due date. Such revisions, if any, will be announced by addenda to this RFQ.

WSDOT will use the following guidelines when responding to questions and requests for clarification and issuing addenda:

- WSDOT will send an e-mail notification to the contact person for each Submitter as soon as each addendum or response is issued. The notification will include an electronic copy of the addendum or clarification when possible.

The Submitter must acknowledge receipt of all addenda by completing and providing Form AA with the introductory letter of the SOQ.

CHAPTER 4 TEAMING PARAMETERS

The following chapter describes requirements that all Submitters must satisfy in submitting SOQs. Failure of any Submitter to follow these requirements may result in rejection of its SOQ.

4.1 Major Participant

As used herein, the term “Major Participant” means any of the following entities:

- a. If the Submitter is a partnership, joint venture, limited liability company or other form of association; any general partners, joint venture members or members of the Submitter.
- b. If not included in clause (a), all individuals, persons, proprietorships, partnerships, limited liability partnerships, corporations, professional corporations, limited liability companies, business associations, or any other legal entity however organized, holding (directly or indirectly) a 15% or greater interest in the Submitter.
- c. The lead engineering/design firm(s).
- d. Each engineering/design sub-consultant that will perform 20% or more of the design work.

4.2 WSDOT Consultant/Technical Support

WSDOT has retained the consulting firm of Parsons Brinckerhoff, and the law firm of Nossaman Guthner Knox & Elliott, LLP to provide guidance in preparing and evaluating this RFQ and the RFP and advice on related contractual and technical matters. These firms are prohibited from joining any Submitter’s team or otherwise assisting any Submitter in connection with the procurement process.

4.3 Organizational Conflicts of Interest

WSDOT will take steps to ensure that individuals involved in preparation of the procurement package, evaluation of SOQs and proposals and Design-Builder selection are not influenced by organizational conflicts of interest, and that no Submitter is given an unfair competitive advantage over another. The Federal Highway Administration has defined “organizational conflict of interest” in 23 CFR Section 636.116, as follows:

Organizational conflict of interest means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the owner, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.

Attention is directed to the requirement for disclosure of organizational conflicts of interest set forth in 23 CFR section 636.116(a)(2), applicable to federal-aid procurements. WSDOT has determined that such disclosure is appropriate for non-federally funded projects as well. As described in Chapter 4.3 of the RFQ, the Submitter is required to identify any potential organizational conflicts of interest in its SOQ. If an organizational conflict of interest is determined to exist, WSDOT may, at its discretion, disqualify the Submitter from further participation in the procurement, cancel this procurement or, if award has already occurred, WSDOT may cancel the Contract. If the Submitter was aware of an organizational conflict of

interest prior to the award of the contract and did not disclose the conflict to WSDOT, WSDOT may terminate the contract for default.

WSDOT may disqualify a Submitter if any of its Major Participants listed in category (a), (b) or (c) of the definition of Major Participants belong to more than one Submitter organization

4.4 Team Continuity and Changes to Organizational Structure

Following submittal of the SOQ, Key Personnel or Major Participants identified in the SOQ may not at any time be removed, replaced or added to without the written approval of the WSDOT Project Director. The WSDOT Project Director may revoke the short-list status of a Submitter if any Key Personnel or Major Participant identified in the SOQ is removed, replaced or added to without the WSDOT Project Director's written approval. To qualify for said approval, the written request must document that the proposed removal, replacement or addition will be equal to or better than the Key Personnel or Major Participant provided in the SOQ. The WSDOT Project Director will use the criteria specified in this RFQ to evaluate all requests. Requests for removals, replacements and additions must be submitted in writing as described in Chapter 3.3.

4.5 Equal Employment Opportunity

Discrimination in all phases of contracted employment, consultant activities, contracting activities and training is prohibited by Title VI of the Civil Rights Act of 1964, Section 162(a) of the Federal-Aid Highway Act of 1973, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, the Justice System Improvement Act of 1979, the American with Disabilities Act of 1990, the Civil Rights Restoration Act of 1987, 49 CFR Part 21, the Washington State Law Against Discrimination, RCW 49.60 and other related laws and statutes. The referenced legal citations establish the minimum requirements for affirmative action efforts and define the basic nondiscrimination provisions as required by this RFQ. Further requirements and discussions regarding EEO policies at all contracting levels will be set forth in the RFP.

4.6 Minority and Women's Business Enterprises Participation

WSDOT encourages participation in all of its contracts by Minority and Women's Business Enterprise (MWBE) as certified by the Office of Minority and Women's Business Enterprises (OMWBE) and defined in WAC 326-02-030. WSDOT anticipates establishing voluntary goals for MWBE participation for the Project. The participation goals will be set forth in the RFP. Nevertheless, unless required by federal law, no preference will be included for meeting goals in the evaluation of proposals, no minimum level of MWBE participation shall be required as a condition for receiving an award, and proposals will not be rejected or considered non-responsive due to a failure to meet goals. Bidders may contact OMWBE to obtain information on certified MBE/WBE firms.

4.7 Restrictions on QA Staff

The following restrictions will apply to the Design-Builder's Quality Assurance staff:

Washington State Department of Transportation

POSITION	QA duties and responsibilities	Restrictions on who they get their paycheck from (their employer)	Restrictions on what they do	Restrictions on who they report to on the org chart	Expected qualifications for their position?
Construction QA Manager (Key personnel)	See Chapter 6.4.4.1.3	none	cannot have responsibility for construction "production". Cannot be the same person as the Quality Testing Supervisor	Directly to the person/group with overall project management responsibilities	See Chapter 6.4.4.1.3
Quality Testing Supervisor (Key Personnel)	See Chapter 6.4.4.1.4	none	cannot have responsibility for construction "production". Cannot be the same person as the Construction QA Manager.	Project Manager or Construction QA Manager	See Chapter 6.4.4.1.4
Construction field inspectors	Inspect aspects of the work in which qualified. Prepare Daily Inspection Reports. Document inspection of materials brought to the job site.	Cannot be employed by materials suppliers or subsidiaries	cannot have responsibility for construction "production"	Exclusively to the Construction QA Manager	Minimum of 4 years of qualifying experience
Field samplers and field testers	Take samples and tests necessary to meet the requirements of the contract, specifications and plans.	Cannot be employed by materials suppliers or subsidiaries	cannot have responsibility for construction "production"	Exclusively to the Construction QA Manager or the Quality Testing Supervisor	Must be qualified in test standards they perform, must use verified equipment
Construction materials lab testers	Perform tests on various materials within the laboratory environment and in accordance with applicable procedures.	Cannot be employed by materials suppliers or subsidiaries	cannot have responsibility for construction "production"	Exclusively to the Quality Testing Supervisor	Must be qualified in test standards they perform, must use verified equipment
Design QA Manager (Key Personnel)	See Chapter 6.4.4.1.7	Could be an employee of the firm designated as the lead design firm, that employs the designer of record	cannot have responsibility for construction "production" Also cannot have been involved in the design that is being QA'd	Directly to the Project Design Manager or to the person/group with overall project management responsibilities.	See Chapter 6.4.4.1.7
Fabrication QA Manager	Implement the Fabrication QA Plan. Manage inspection and testing of all off-site fabrication work. Ensure all fabrication QA inspection staff has appropriate training and certification. Maintain NCR log. Schedule Quality Checkpoints. Maintain calibration records for fabrication test equipment.	Cannot be employed by fabricators, materials suppliers, or subsidiaries	cannot have responsibility for construction "production". May be the same person as the Construction QA Manager.	Must either report to the Construction QA manager or can be the Construction QA manager	WA PE license, 10 years experience in Fabrication inspection and Fabrication Quality Assurance, including qualification in welding, structural coatings, precasting
Fabrication QA Inspectors and testers	Daily Fabrication Inspection Reports. Prepare Materials Receiving Report to document inspection of materials during fabrication.	Cannot be employed by fabricators, materials suppliers, or subsidiaries	cannot have responsibility for construction "production"	Exclusively to the Fabrication QA manager (if used) or the Construction QA Manager	Must be qualified in test standards they perform, must use verified equipment
Environmental Compliance Manager (Key Personnel)	See Chapter 6.4.4.1.8	None	cannot have responsibility for construction "production"	Directly to the Project Manager or the person/group with overall project management responsibilities	See Chapter 6.4.4.1.8
Environmental Compliance Inspectors	Assist in the review of the design and implementation of environmental BMPs and mitigation measures. Assist in the verification of regulatory compliance.	Cannot be employed by "constructors" or materials suppliers or subsidiaries	Cannot have responsibility for construction "production"	Directly to the Environmental Compliance Manager	Wildlife Biologist. Watershed Scientist. Soil Scientist, Revegetation Specialist, Prof. Environmental Engineer.

CHAPTER 5 SUBMITTAL LOGISTICS AND FORMAT

This Chapter describes requirements that all Submitters must satisfy in submitting SOQs. Failure of any Submitter to follow these requirements may result in rejection of its SOQ.

5.1 Due Date, Time and Location

All sealed SOQs are to be received at one of the following locations prior to 4:00 P.M. Pacific Standard Time, on the date identified as the “SOQ due date” in the Project Schedule shown in Chapter 3.2 of this RFQ:

1. By U.S. mail at: Attn: Ken Walker, Post Office Box 47360, Olympia, Washington 98504 – 7360. The Department of Transportation will consider notification of bid receipt by the Mail Room as the actual receipt of the SOQ.
2. By hand in person or courier in the Department of Transportation Contract Ad & Award Office, Room 1A23 located at the Transportation Building, 310 Maple Park Avenue SE, Olympia WA. 98504 – 7360. SOQs delivered in person will be received only in the Contract Ad & Award Office Room 1A23.

WSDOT will not accept SOQs by facsimile or electronic transmission. Any SOQ that fails to meet the deadline or delivery requirement will be rejected without opening, consideration or evaluation.

5.2 Organization

Organize the SOQ using the following Section headings, order of documents, and maximum number of pages:

Section	Section Title and Required Information	Maximum Pages
1	Introduction Letter	
	• Introduction Letter	2
	• Form AA: Acknowledgment of Addenda	1
2	Legal	
	• Form A: Design-Builder Information	As required
	• List of Major Participants	As required
	• Legal Structure and supporting documents	As required
	• If JV, statement of joint and several liability	As required
	• Conflicts of Interest Information	As required
3	Financial	
	• Surety Letters	As required
	• History of Bonding Companies	As required
4	Key Personnel	
	• Form F	3
	• Resumes of Key Personnel	3 each
5	Submitter Experience	
	• Form B: Design-Builder Certification	As required
	• Form C: Design-Builder Safety Statistics	As required
	• Form D: Summary of Comparable Contracts	4/project
6	Project Approach	
	• Form E	As required
	• Organizational chart	2
	• Narrative	10

5.3 Format

- **Language.** All information shall be in English.
- **Medium.** The SOQ shall be in printed hard-copy form. No electronic files will be accepted.
- **Type Font.** All narrative text shall be in a type font that is a regular Times Roman style and a minimum of twelve points in size, and single-spaced. The type style and size of headings and figures are not prescribed. .
- **Photos.** No photos will be allowed except for the cover page.
- **Page Size.** Except for charts, exhibits and other illustrative and graphical information, all information must be printed on 8.5" x 11" paper. Charts, exhibits and other illustrative and graphical information may be on 11" x 17" paper, but must be folded to 8.5" x 11" and will be counted as one sheet.

- **Page Margins.** No text, tables, figures, or other substantive content may be printed within 0.75 inch of any page edge.
- **Page Limit.** Refer to the limits described elsewhere in the RFQ. Submit only the information required by this RFP. No other information will be considered in the evaluation of the SOQs.
- **Dividers.** Section dividers shall contain the section number and/or Section title.
- **Binding.** Each SOQ shall be bound in one three-ring binder.
- **Front Cover.** The front cover of each SOQ must be labeled with the Team Name of the Submitter, along with the language “Everett HOV Design-Build Project”, “Statement of Qualifications” and the date of submittal.

Failure to comply with these requirements may result in rejection of the SOQ.

5.4 Quantities

Each Submitter must provide WSDOT with one original SOQ bearing original signatures and 12 bound copies of the SOQ. The original must be identified as an original on its front cover, in colored ink. Each copy must be identified on its front cover, in the upper right-hand corner, as “Copy ____ of 12 Copies.”

All binders must be packed together in one sealed package for delivery to WSDOT. The outside of the sealed package must be clearly identified, labeled and addressed as follows:

- Return address: Submitter’s name, contact person’s name, mailing address;
- Date of submittal;
- Contents labeled as “Everett HOV Design-Build Project” and “Statement of Qualifications”; and
- Addressed to the Department’s Point of Contact identified in Chapter 3.3.

CHAPTER 6 CONTENT OF STATEMENT OF QUALIFICATIONS

This chapter describes specific information that must be included in the SOQ. SOQs must follow the outline presented in Chapter 5.2. Submitters shall provide brief, concise information that addresses the requirements of the Project consistent with the evaluation criteria described in this RFQ.

Documents submitted pursuant to this RFQ will be subject to RCW 42.17.260 pertaining to public documents and availability of information to the public, as applicable.

Required forms for the SOQ are provided at the end of this RFQ.

6.1 Section 1: Introduction Letter

6.1.1 Objective

To identify submitters, authorized representatives, and points of contact. To acknowledge receipt of addenda. To obtain a commitment on availability of Key Personnel.

6.1.2 Requirements and Information to Be Submitted

The SOQ shall include an introduction letter stating, among other things, the business name, address, business type (e.g., corporation, partnership, joint venture) and roles of the Submitter and each entity described in category (a) and (b) under the definition of “Major Participant” in Chapter 4.1 of this RFQ. The introduction letter shall identify one contact person and his or her address, telephone and fax numbers, and e-mail address. This person shall be the single point of contact on behalf of the Submitter organization, responsible for correspondence to and from the organization and WSDOT. WSDOT will send all project-related communications to this contact person.

Authorized representative(s) of the Submitter organization must sign the introduction letter. If the Submitter is a joint venture, all of the joint venture members must sign the letter. If the Submitter is not yet a legal entity, the Major Participants must sign the letter and must state their intent to form the entity prior to the proposal due date. The letter must certify the truth and correctness of the contents of the SOQ. This information will be used to identify the Submitter and its designated contact, and will be reviewed on a pass/fail basis only and not as part of the qualitative assessment of the SOQ.

In addition to the contact information noted above, the introduction letter shall contain the following information:

1. A statement that the Submitter is prepared to commit the Key Personnel identified in the SOQ to the Project, to the extent necessary to meet WSDOT’s goals, schedule, and quality expectations;
2. A statement that the Submitter will comply with all applicable federal, state, and local laws and regulations.

The introduction letter shall be addressed to the Department’s Point of Contact identified in Chapter 3.3.

In addition to the Introduction Letter, include in Section 1 “Form AA, Acknowledgment of Addenda”.

6.2 Section 2: Legal

6.2.1 Objective

To identify legally constituted Submitters able to submit Proposals and enter into the Contract and complete the Work who either have or commit to obtain all required licenses.

6.2.2 Requirements and Information to Be Submitted

6.2.2.1 Design-Builder Information

Complete Form A for the Submitter and each Major Participant listed in category (a) of the definition of Major Participants. If the Submitter is not yet formed, Form A must be completed by each of the Major Participants in category (a) of the definition of Major Participants.

6.2.2.2 Submitter Organizational Structure

Provide the following information on Form E:

- A list of all Major Participants known to the Submitter at the time of submission.
- The type(s) of services that each Major Participant provides, and the length of time each Major Participant has been providing those services
- The number of employees each Major Participant has in total and within the State of Washington.

Provide a description of the legal entity proposed to be the Design-Builder. If the Submitter legal entity has already been formed, provide complete copies of the organizational documents along with those documents that allow, or would allow by the time of contract award, the Submitter and its team members to conduct business in the State of Washington. If the Submitter legal entity has not yet been formed, provide a brief description of the proposed legal structure and provide draft/final copies of the underlying agreements. Once the legal entity is finalized, the Submitter shall supplement its SOQ with copies of the final organizational documents. Such organizational documents shall be submitted no later than 15 calendar days before the Proposal due date as described in the RFP.

6.2.2.3 If a Joint Venture, Limited Liability Company, or partnership

In the case where the Submitter is a Joint Venture, Limited Liability Company, Partnership, or other association, provide an express statement from each of the partners/members as to their joint and several liability on the Project. WSDOT Standard form 410-009 Individual Project Statement of Joint Venture shall be used. This form is available for download at:

<http://www.wsdot.wa.gov/biz/contaa/prequal/>

6.2.2.4 Organizational Conflicts of Interest

Identify all relevant facts relating to past, present or planned interest(s) of the Submitter’s team (including the Submitter, Major Participants, proposed subconsultants and subcontractors, and

their respective chief executives, directors, officers and key personnel) which may result, or could be viewed as, an organizational conflict of interest in connection with this RFQ. See Chapter 4.3.

Disclose for the Submitter, Major Participants, and proposed subconsultants and subcontractors: (a) any current contracts with WSDOT pursuant to which the entity acts as an extension of staff or otherwise might be considered an agent of WSDOT (identifying the WSDOT contract number and project manager); (b) present or planned contractual or employment relationships between the entity and any current WSDOT employee; and (c) any current WSDOT employees who might be deemed to have a financial interest in the Contract if awarded to the Submitter. The Submitter must also disclose any current contractual relationships where the Submitter or any of its affiliated entities works for, or is a joint venture, partner, shareholder or member with Parsons Brinckerhoff or Nossaman Guthner Knox & Elliott, LLP (Nossaman) . The foregoing is provided by way of example, and shall not constitute a limitation on the disclosure obligations.

For any fact, relationship or circumstance disclosed in response to this part of the RFQ, identify steps that have been or will be taken to avoid, neutralize or mitigate any organizational conflicts of interest.

In cases where Major Participants on different Submitter organizations belong to the same parent company, each Submitter must describe how the participants would avoid conflicts of interest through the qualification and proposal phases of the Project.

6.3 Section 3: Financial

6.3.1 Objective

To identify Submitters with demonstrated capability to undertake the financial responsibilities associated with the Project, including bonding and guarantees.

6.3.2 Requirements and Information to Be Submitted

Provide a letter from a surety or insurance company stating whether or not the Submitter is capable of obtaining proposal, payment, performance, and warranty bonds as indicated in the table below for the row labeled "For RFQ Purposes".

Table 7.1

Selection Phase	Proposal Bond/Security	Payment Bond/Security	Performance Bond/Security	*Warranty Bond/Security
For RFQ Purposes	\$8,150,000	\$163,000,000	\$163,000,000	\$20,000,000
For RFP Contract Purposes	5% of Proposal Amount	100% of Proposal Amount	100% of Proposal Amount	\$20,000,000

*The warranty period is expected to be 2 years general, 3 years paving.

The letter shall also specifically state that the surety/insurance company has evaluated the backlog and work in progress of the Submitter and its principal members in determining the Submitter's capability to obtain bonds. Letters indicating "unlimited" bonding capability are not acceptable. The surety or insurance company providing such letter must be authorized to do business in the State of Washington with an A.M. Best Co. "Best's Rating" of A- or better and Class VIII or better.

Provide a statement listing the names of all surety companies utilized by the Submitter (and all its principal members) in the last five years. State whether a surety had to complete any part of the Submitter's or principal member's work during the past five years or pay any subcontractor or supplier thereof.

6.4 Section 4: Key Personnel

6.4.1 Objective:

To identify Submitters that will provide personnel that have the knowledge, skills, and experience as applicable to meet the project goals. The key personnel positions will be required to have the technical and management experience and expertise to plan, organize, and execute the design and construction and assure the quality and safety of the Project.

6.4.2 Requirements and Information to Be Submitted

6.4.2.1 Key Personnel Matrix

Complete Form F, Key Personnel Matrix.

6.4.2.2 Resumes of Key Personnel

Complete resumes of Key Personnel shall be provided. Identify the Designer of Record. Resumes of Key Personnel shall be limited to three pages each. Provide at least two references for all Key Personnel. Indicate name, position, company or agency and current phone and fax numbers for each reference. References shall be owners or clients for whom the Key Personnel have worked within the past 5 years. Resumes should highlight the following information:

- a) Relevant licensing and registration/certification;
- b) Years of experience performing similar work;
- c) Actual work examples including projects, duties performed and percent of time on the job;
- d) Education and training;
- e) Length of employment with current employer;
- f) Percent of time committed to the Project, including percent of time during design, post design and construction;
- g) Percent of time committed to other projects, and over what time period;
- h) Proposed location of personnel.

6.4.3 Restrictions On QA Personnel and Reporting Structure

Refer to Chapter 4.7 for restrictions on the Design-Builder's QA staff.

6.4.4 Definition of Key Personnel

The following are defined as key personnel:

- Project Manager
- Construction Manager
- Construction QA Manager
- Quality Testing Supervisor
- Design Manager
- Structural Design Manager
- Design QA Manager
- Environmental Compliance Manager
- Community Involvement and Project Information Manager

6.4.4.1 Key Personnel Qualifications

. The following provides a brief job description, licensure requirements and minimum qualifications that must be met for Key Personnel. All Key Personnel will be required to co-locate with the Design-Builder's staff and WSDOT personnel and consultants for the duration of the Project ("on site") during activities that involve their areas of responsibility. WSDOT will not require licenses/certifications to be in place as of the SOQ date provided the SOQ includes a commitment for the licenses/certifications to be obtained prior to award, and provided further that WSDOT determines that the designated individual is qualified to obtain a license/certification. If, in the sole opinion of WSDOT, any of the Key Personnel fails to meet the standards required for performance of the work, WSDOT may disqualify the Submitter/Proposer.

6.4.4.1.1 Project Manager

Job Description

- Design-Builder's Project Manager will be responsible for the overall design, construction, quality management and contract administration for the Project. This person shall be assigned to the Project full time.

Minimum Qualifications

- Must have at least seven years, 10 years preferred, of recent experience managing major urban freeway projects.

6.4.4.1.2 Construction Manager

Job Description

- The Construction Manager will be responsible for the construction of the Project. This person shall be assigned to the Project full time and will be required to be on site for the duration of the Project.

Minimum Qualifications

- Must have at least seven years, ten years preferred, of recent experience in highway construction.

6.4.4.1.3 Construction QA Manager

Job Description

- The Construction QA Manager manages the Design-Builder's QA program and is responsible for demonstrating to the Department that the Work and materials are acceptable. Develops and implements the Design-Builder's construction QA plan, implements quality planning, oversees Design-Builder's construction quality assurance testing and inspection. Provides monthly certification of compliance of construction and materials for compliance with the RFP and design documents. Coordinates with WSDOT's verification testing and inspection and independent assurance (IA) requirements. Reports directly to the person/group with overall Project management responsibilities (design, construction, PI, quality, etc) and not to someone involved exclusively with construction production responsibilities. Shall not be assigned any other duties or responsibilities on the Project or any other projects. This person will be required to be on site whenever any construction activities are being performed.
- The Construction QA Manager shall have the authority to stop any and all work that does not meet the standards, specifications or criteria established for the Project.
- The Construction QA Manager shall submit a final materials certification package to the Department.

Required Licensure

- Must be a registered professional engineer in the State of Washington by not later than notice to proceed.

Minimum Qualifications

- Must have at least 6 years experience in construction materials acceptance administration, and at least 6 years experience in construction inspection administration. The experience of an assistant to the Construction QA Manager may be used to meet the experience requirement of up to 6 years of either construction inspection or construction materials administration.

6.4.4.1.4 Quality Testing Supervisor

Job Description

- The Quality Testing Supervisor shall oversee all sampling and testing operations and report directly to the Construction QA Manager. The Quality Testing Supervisor shall be responsible for insuring that qualified testers are performing all testing according to the proper test procedure, and using calibrated and verified testing equipment.

Minimum Qualifications

- The Quality Testing Supervisor shall meet one of the following requirements:
 - A. A Professional Engineer, registered in the State of Washington, with at least one year of highway materials testing experience acceptable to the Department, or
 - B. An Engineer-In-Training, certified by the State of Washington, with at least two years of highway materials testing experience acceptable to the Department, or
 - C. A Bachelor of Science Degree in Civil Engineering, Civil Engineering Technology, Construction, or related field acceptable to the Department; and at least three years of highway materials testing experience acceptable to the Department, or
 - D. Certification by the National Institute for Certification in Engineering Technologies (NICET) in the Construction Materials Testing field as an Engineering Technician (Level III) or higher in the appropriate subfield in which sampling and testing is being performed, or
 - E. Certification by NICET in the Transportation Engineering Technology field as an Engineering Technician (Level III) or higher in the Highway Materials subfield, or
 - F. Certification by NICET as an Engineering Technician, or higher, in Civil Engineering Technology with at least five years of highway materials testing experience acceptable to the Department, or
 - G. An individual with at least eight years of highway materials testing and construction experience acceptable to the Department.

6.4.4.1.5 Design Manager

Job Description

- The Design Manager will be responsible for ensuring that the overall Project design is completed and design criteria requirements are met. The Design Manager must be on site whenever design activities are being performed.
- The Design Manager must work under the direct supervision of Design-BUILDER's Project Manager.

Required Licensure

- Must be a registered professional engineer in the State of Washington not later than notice to proceed.

Minimum Qualifications

- Must have at least ten years of recent experience in managing the design of major urban freeways.

6.4.4.1.6 Structures Design Manager

Job Description

- The Structural Design Manager will be responsible for ensuring that the bridge and structures design is completed and design criteria requirements are met. The Structural Design Manager must be on site whenever structural design activities are being performed.
- The Structural Design Manager must work under the direct supervision of Design-Builder's Project Manager.

Required Licensure

- Must be a registered Structural Engineer in the State of Washington not later than notice to proceed.

Minimum Qualifications

- Must have at least ten years of recent experience in managing the design of highway bridges and structures including five years experience designing or managing the design of highway bridges and structures in Washington State. Must be familiar with all applicable structural design codes including the AASHTO LRFD Bridge Design Specifications and the WSDOT Bridge Design Manual. Must be knowledgeable of current practice for the seismic design of bridges and structures in Washington State.

6.4.4.1.7 Design QA Manager

Job Description

- Implement Design QA Plan. Train all design engineers in the design quality process. Audit design packages and release for construction plans for conformance with the QMP. Audit and certify all design packages for release to construction for compliance with the QMP. Ensure appropriate Engineers review all plan sheets for conformance with the RFP standards and criteria. Certify that the design, for which progress payments are being requested, meets the quality requirements of the contract.

Minimum Qualifications

- Must be a registered professional engineer in the State of Washington not later than notice to proceed, and have a minimum of 5 years recent experience managing design of highway projects.

6.4.4.1.8 Environmental Compliance Manager

Job Description

- Advise design team on how to avoid and minimize adverse effects to the natural environment and communities.
- Ensure and provide documentation that all Project environmental commitments are met.
- Ensure that design and construction complies with all environmental regulations, Project environmental documentation, and Project permits.
- Must be on site for the duration of both the design and construction periods.

Minimum Qualifications

- 5 years experience managing environmental compliance for transportation projects.
- Experience working with engineering teams to develop designs that avoid and minimize adverse environmental and community impacts.
- Experience working with transportation and natural resource agencies obtaining permits and/or permit modifications.

6.4.4.1.9 Community Involvement and Project Information Manager

Job Description

- Responsible for managing public information and community involvement deemed necessary by WSDOT.
- Will interact with WSDOT staff in a team effort to educate and help promote public satisfaction with the project.
- Will provide media interviews and information and deliver messages and materials consistent with WSDOT's messaging and standards.
- Create, reproduce and distribute flyers and graphics to educate the public about the project and construction and traffic impacts.
- Quickly and thoroughly respond to community and commuter complaints.

Minimum Qualifications

- Five (5) years of full time, paid professional public information and media outreach working with large public works projects.
- Experienced in all aspects of providing public information on public works projects, including newsletter writing, design and production, direct mailing, media outreach, news release writing, public speaking and designing maps and graphics.
- Experience in communicating with frustrated citizens and resolving their concerns.
- Experience writing and implementing a public information plan.

6.5 Section 5: Submitter Experience

6.5.1 Objective

Excellent Project management is essential to achieving WSDOT's Project goals. WSDOT needs a Design-Build Team that is sufficiently experienced and properly organized to efficiently deliver a quality product on time and within budget. This requires a dedicated organization with clean lines of communication and authority.

6.5.2 Requirements and information to be submitted:

- A. Form B. Form B must be provided for the Submitter and each Major Participant listed in category (a) of the definition of Major Participants.
- B. Form C. Submit Form C for each member of the team that will perform major items of construction work.
- C. Form D. Submit Form D to demonstrate Submitters team's experience on Design-Build highway projects of a similar size and/or scope to this Project. Experience on non-design-build projects may be used in lieu of design-build projects if such projects are deemed by the Submitter better suited to demonstrate the teams past performance. These forms shall be provided for the Submitter and each Major Participant that will perform work on the Project.

Form D should highlight experience relevant to the Project that the Submitter and its team members have gained in the last 5 years. Cite projects with levels of scope comparable to that anticipated for the Project. Describe the experiences that could apply to this project. For projects in which several of the proposed Major Participants were involved together, a single form D may be used, but each Major Participant's role and responsibility should be highlighted. Proposed Key Personnel who worked on each project should be identified, including their role and responsibilities. The size of each box in the form may be expanded as necessary to provide space for all pertinent information, but each project Form D shall not exceed four 8.5" X 11" pages in length. Each Major Participant that will perform work on the Project must have at least 2 and not more than 5 example projects presented that demonstrate its applicable experience.

In particular, provide project information relevant to each of the following areas:

- a. Record of an Effective Team Organization
 - Description of how design and construction activities were integrated;
 - Information regarding the project management structure, including effectiveness of decision making, communication and change management.
- b. Record of Schedule and Budget Control

- Record of cost and schedule growth (or reduction) (stating the base cost as the original lump sum or guaranteed maximum price, or if the contract was on a cost plus basis, stating the original budgeted amount)
 - Mechanisms used to avoid delays and minimize cost growth;
 - For projects that experienced significant cost growth, an explanation of the reasons cost growth occurred.
- c. Record of Quality Products
- Steps taken to ensure that technical requirements were met;
 - Description of design and construction QC and QA programs;
 - Information regarding levels of initial work acceptance;
 - Field re-work levels;
 - Field changes from design drawings;
 - Whether punch list items were completed promptly and explanation of any delay in completion
 - Warranty work
 - Lawsuits relating to traffic accidents occurring following project completion
- d. Record of Environmental Compliance
- Describe how the project was designed and constructed to avoid or minimize impacts to environmentally sensitive areas (i.e., wetlands, streams, floodplains, steep hillsides, etc.)
 - List the federal, state, and local permits your team was required to comply with and how you coordinated with regulatory agencies.
 - Identify any environmental mitigation sites that were designed, constructed, or monitored as part of the Project.
 - How did your team determine effectiveness of Best Management Practices (BMPs) and document compliance with regulations and permit conditions on a daily basis?
 - Explain how your team reacted (or planned to react) to a non-compliance event or permit violation. Describe steps taken to remedy the situation and prevent future violations.
 - Discuss how your team worked with subcontractors to ensure they avoided permit violations and were in compliance with regulations.
- e. Record of Maintenance of Traffic
- Describe maintenance of traffic requirements;

- Identify measures taken to maximize traffic flow during construction;
- Identify measures taken to minimize impacts to traffic due to construction work;
- Identify construction practices which reduced traffic impact and future maintenance;
- Identify your team's involvement in developing traffic control phasing and traffic management strategies.

f. Community Involvement and Public Information

- Identify public information responsibilities (including website development and maintenance, citizen communications, project hot lines, brochures/graphics, etc.)
- Describe work with community advisory boards, citizen advisory committees and similar groups and implementing Context Sensitive Solutions.

6.6 Section 6: Project approach

6.6.1 Objective

To demonstrate the Submitter's understanding of how its team will contribute to the overall success of a Design-Build project and meet the Project goals listed in Chapter 2.3.

6.6.2 Requirements and Information to Be Submitted

Provide, at a conceptual level, a narrative describing your team's approach to the Project. For the organization proposed, provide a brief, written description of significant functional relationships among participants and how the proposed organization will function as an integrated design-build team. Factors to consider addressing in the narrative include, but are not limited to:

- Qualifications of key staff
- Team organization and plans to control schedule and budget
- Assignment of levels of authority and responsibility
- Approach to decision making
- Communication plan for the team
- Plan for providing a quality design and construction product
- Team organization to meet technical requirements
- Organization and plan to meet administrative and regulatory requirements
- Explain your understanding of the difference in the responsibility of the contracting entity on a design-build project as compared to a design-bid-build project.

6.6.2.1 Organizational Chart(s)

Provide a proposed organizational chart(s) showing the flow of the “chain of command” with lines identifying participants who are responsible for major functions to be performed and their reporting relationships, in managing, designing, building and Quality Assurance for the Project. The chart(s) must show the functional structure of the organization down to the design discipline leader or construction superintendent level and must identify proposed Key Personnel by name and employer. Indicate the anticipated percent of each Key Personnel’s time that would be committed to the Project. Identify the Submitter and all Major Participants and their roles in the chart(s). Identify the critical support elements and relationships of Project management, Project administration (schedule and budget control), construction management, design management, quality control, quality assurance, safety, environmental compliance, community involvement, maintenance of traffic, subcontractor administration and any other significant function.

CHAPTER 7 EVALUATION PROCESS

7.1 SOQ Evaluation

This chapter outlines the general scoring for the RFQ phase of the procurement. Evaluations will be based on how well the SOQ responds to the requirements described in Chapter 6, and on information otherwise available to the Department.

The evaluation factors are divided into two types, “Pass/Fail” and “Ranked”. Determination of the Pass/Fail and Ranked ratings for each evaluation factor is described below.

7.1.1 Pass/Fail Evaluation Factors

The pass/fail evaluation factors are as follows: (Note that the information provided in Sections 1, 2, and 3 may be further considered in the ranked evaluation factors as deemed appropriate by the Department.)

Section 1: Introductory Letter

- Letter includes all information requested in Chapter 6.1 of this RFQ.
- Includes properly executed Form AA, Acknowledgment of Addenda.

Section 2: Legal

- Forms A completed for all applicable parties
- Major Participants and their roles identified.
- Legal structure and documentation provided
- Acceptable statement addressing joint and several liability
- Organizational conflicts of interest information provided and acceptably addressed

Section 3: Financial

- Surety (Bonding) letter(s) included and meet requirements.
- List of required history of bonding companies

Section 4 Key Personnel

- See Section 4 below for further information.

If a Submitter receives a passing score on all pass/fail evaluation factors, its SOQ will be further evaluated using the ranked criteria below. If a Submitter fails on any single pass/fail requirement, the SOQ shall be rated as unacceptable, the ranked evaluation factors will not be scored, and the Submitter will not be included on the short-list.

7.1.2 Ranked Evaluation Factors

Numerical scores will be assigned by a WSDOT Evaluation Committee to each ranked evaluation factor in accordance with how well the SOQ responds to the requirements and meets or exceeds the Project goals. Submitters that receive a score on any Ranked evaluation factor

below what the Department deems the minimum acceptable may not be considered eligible for the Short-List.

Ranked evaluation factors are:

Section 4: Key Personnel

Key Personnel will be evaluated, in part, based on the extent to which they meet and/or exceed such requirements including, but not limited to, relevant education, training, certification, and experience. The Minimum Qualifications and licensure requirements for these positions will be initially evaluated as either “Pass” or “Fail.” A “Fail” Rating in any position can be considered a basis for excluding a Submitter from the short-list. WSDOT will not require licenses/certifications to be in place as of the SOQ date provided the SOQ includes a commitment for the licenses/certifications to be obtained prior to start of work, and provided further that WSDOT determines that the designated individual is qualified to obtain a license/certification. If, in the sole opinion of WSDOT, any of the Key Personnel fails to meet the standards required for performance of the work, WSDOT may disqualify the Proposer.

Section 5: Submitter Experience

The Submitter will be evaluated, in part, on how well its previous project experience indicates it can meet the stated Project goals. Factors to be considered include, but are not limited to:

- Experience of Major Participants
- Integration of design and construction activities.
- Record of cost and schedule control, including mechanisms used to achieve goals of avoiding delays and minimizing costs
- Indication of a successful management structure
- Indication of meeting technical requirements and providing a quality product
- Record of minimal design revisions and construction re-work
- Safety record
- Meeting regulatory requirements
- Successful partnering and dispute resolution
- Successful permitting and approvals

Section 6: Project Approach

Project approach will be scored, in part, upon how well the submitter’s approach meets the project goals and addresses the items in Chapter 6.6.2.

7.2 Scoring Summary

The following table summarizes scoring of the SOQ’s.

Section	SOQ Scoring Criteria	Score	Maximum Possible Score
Introduction Letter			
	Includes and properly addresses requirements of Chapter 6.1		P/F
	Form AA Acknowledgment of Addenda		P/F
Legal			
	Form(s) A complete		P/F
	Major Participants and Roles Identified		P/F
	Legal structure and supporting documents		P/F
	Organizational conflicts of interest information		P/F
	Statement of joint and several liability		P/F
Financial			
	Surety Letters		P/F
	5 year history of bonding companies		P/F
Key Personnel			450
Submitter Experience			450
Project Approach			100
Total Points			1000

7.3 Determining Short-list

WSDOT will total the scores for each responsive SOQ and prepare a ranked list of Submitters. WSDOT will short-list at least three and not more than four most highly qualified Submitters.

WSDOT reserves the right, in its sole discretion, to cancel this RFQ, issue a new Request for Qualifications, reject any or all SOQs, seek or obtain data from any source that has the potential to improve the understanding and evaluation of the responses to this RFQ, seek and receive clarifications to an SOQ and waive any deficiencies, irregularities or technicalities in considering and evaluating the SOQs.

This RFQ does not commit WSDOT to enter into a contract or proceed with the procurement of the Project. WSDOT assumes no obligations, responsibilities and liabilities, fiscal or otherwise, to reimburse all or part of the costs incurred by the parties responding to this RFQ. All such costs shall be borne solely by each Submitter.

7.4 Notification of Short-listing

Upon completion of the evaluation, scoring, and short-listing process, WSDOT will send the list of short-listed Submitters to all Submitters or will notify them of any decision not to issue a short-list. WSDOT will also publish the list on its design-build website

www.wsdot.wa.gov/biz/contaa/

7.5 Debriefing Meetings

Once WSDOT announces the short-list (if any), WSDOT expects to arrange meetings with each of the Submitter organizations. These debriefing meetings would give Submitters and WSDOT an informal setting to discuss this RFQ and the procurement process.

CHAPTER 8 PROCUREMENT PHASE 2

This Chapter 8 is provided for informational purposes only so that each Submitter has information that describes the second phase of the Project procurement process, including a summary of certain anticipated RFP requirements. WSDOT reserves the right in its sole discretion to make changes to the following, and the short-listed Submitters may rely only on the actual RFP when and if it is issued. This Chapter 8 does not contain requirements related to the SOQ.

8.1 Request for Proposals

The short-listed Submitters will be eligible to move to phase 2 and receive an RFP. While WSDOT may make the RFP available to the public for informational purposes, only the short-listed entities will be allowed to submit a response to the RFP.

8.2 Pre-Proposal Meeting

WSDOT will offer each short-listed Proposer the opportunity to meet before the proposal due date to discuss the Project and the RFP process, as well as separate meetings to discuss any ATCs being developed. In any such meeting, WSDOT will meet with only one Proposer at a time. Proposers would not be required to accept the meeting offers.

8.3 Proposals Submitted in Response to the RFP

Short-listed Proposers that choose to continue in the procurement process must submit a two-part proposal. One part is the technical proposal. The second part is the price proposal. The RFP will specifically define formats and page limits for the proposal packaging and all proposal contents.

8.4 Proposal Evaluations

Assuming the Contract is awarded, award will be made to the Proposer that is determined to have offered the proposal offering the best value to WSDOT, determined as set forth in the RFP.

8.5 Stipends

WSDOT plans to award a stipend in the amount of \$200,000 to each short-listed, responsible Proposer that provides a responsive but unsuccessful Proposal. Terms and conditions associated with payment of the stipend will be set forth in the RFP.

No stipends will be paid for submitting SOQs.

CHAPTER 9 PROTEST PROCEDURES

This Chapter 9 sets forth the exclusive protest remedies available with respect to this RFQ. Each Submitter, by submitting its SOQ, expressly recognizes the limitation on its rights to protest contained herein, expressly waives all other rights and remedies and agrees that the decision on any protest, as provided herein, shall be final and conclusive unless wholly arbitrary and capricious. These provisions are included in this RFQ expressly in consideration for such waiver and agreement by the Submitters. Such waiver and agreement by each Submitter are also consideration to each other Submitter for making the same waiver and agreement.

9.1 Protests Regarding RFQ

The Submitter may protest the terms of this RFQ prior to the time for submission of SOQs on the grounds that (a) a material provision in this RFQ is ambiguous, (b) any aspect of the procurement process described herein is contrary to legal requirements applicable to this procurement, or (c) this RFQ in whole or in part exceeds the authority of WSDOT. Protests regarding this RFQ shall be filed only after the Submitter has informally discussed the nature and basis of the protest with WSDOT's Project Director in an effort to remove the grounds for protest.

Protests regarding this RFQ shall completely and succinctly state the grounds for protest and shall include all factual and legal documentation in sufficient detail to establish the merits of the protest. Evidentiary statements, if any, shall be submitted under penalty of perjury.

Protests regarding this RFQ shall be filed as soon as the basis for protest is known to the Submitter, but in any event it must be actually received no later than ten calendar days before the SOQ due date, provided that protests regarding an addendum to this RFQ shall be filed and actually received by WSDOT no later than five calendar days after the addendum to this RFQ is issued (or no later than the SOQ due date, if earlier).

Protests regarding this RFQ shall be filed in writing by hand delivery or courier to the Protest Official with a copy to WSDOT's Project Director. The "Protest Official" is defined as:

Ken Walker
WSDOT Contract Ad and Award
PO Box 47360
Olympia 98504-7360

WSDOT will distribute copies of the protest to the other Submitters and may, but need not, request other Submitters to submit statements or arguments regarding the protest and may, in its sole discretion, discuss the protest with the protesting Submitter. If other Submitters are requested to submit statements or arguments, they may file a statement in support of or in opposition to the protest within seven calendar days of the request.

The protesting Submitter shall have the burden of proving its protest by clear and convincing evidence. No hearing will be held on the protest. The Protest Official or his designee will decide the protest on the basis of the written submissions. WSDOT will furnish copies of the decision in writing to each Submitter. The decision shall be final and conclusive. If necessary to address the issues raised in the protest, WSDOT will make appropriate revisions to this RFQ by

issuing addenda. WSDOT may at its sole discretion extend the SOQ due date, if necessary, to address any protest issues. Each party shall bear its own attorney fees, and legal costs which may result from the protest.

The failure of a Submitter to raise a ground for a protest regarding this RFQ within the applicable period shall constitute an unconditional waiver of the right to protest the terms of this RFQ and shall preclude consideration of that ground in any protest of qualification of a Submitter unless such ground was not and could not have been known to the Submitter in time to protest prior to the final date for such protests.

9.2 Protests Regarding Responsiveness and Short-listing

A Submitter may protest the results of the above-described evaluation and qualification process by filing a notice of protest by hand delivery or courier to the Protest Official. The protesting Submitter shall concurrently file a copy of its notice of protest with the other Submitters. The notice of protest shall specifically state the grounds of the protest.

Notice of protest of any decision to accept or disqualify a SOQ on responsiveness grounds must be filed within five business days after the earliest to occur of (a) notification of non-responsiveness, (b) the scheduled date for oral meetings and presentations (if any) or (c) the public announcement of short-listed Submitters. Notice of protest of the decision on short-listed Submitters must be filed and actually received by the Protest Official within five business days after the public announcement of the short-listed Submitters.

Within seven calendar days of the notice of protest the protesting Submitter must file with the Protest Official a detailed statement of the grounds, facts and legal authorities, including all documents and evidentiary statements, in support of the protest. The protesting Submitter shall concurrently deliver a copy of the detailed statement to all other Submitters. Evidentiary statements, if any, shall be submitted under penalty of perjury. The protesting Submitter shall have the burden of proving its protest by clear and convincing evidence.

Failure to file a notice of protest or a detailed statement within the applicable period shall constitute an unconditional waiver of the right to protest the evaluation or short-listing process and decisions there under, other than any protest based on facts not reasonably ascertainable as of such date.

Other Submitters may file by hand delivery to the Protest Official a statement in support of or in opposition to the protest. Such statement must be filed within seven calendar days after the protesting Submitter files its detailed statement of protest. WSDOT will promptly forward copies of any such statements to the protesting Submitter.

Unless otherwise required by law, no evidentiary hearing or oral argument shall be provided, except, in the sole and absolute discretion of the Protest Official or his designee, a hearing or argument may be permitted if necessary for protection of the public interest or an expressed, legally recognized interest of a Submitter or WSDOT. The Protest Official or his designee shall issue a written decision regarding the protest within 15 calendar days after the Protest Official receives the detailed statement of protest. Such decision shall be final and conclusive. The Protest Official or his designee shall deliver the written decision to the protesting Submitter and copies to the other Submitters.

If a notice of protest regarding responsiveness is filed prior to the oral presentation process (if any), WSDOT may proceed with the oral presentation process and may short-list Submitters before the protest is withdrawn or decided, unless the Protest Official or his designee determines, in his sole discretion, that it is in the public interest to postpone the qualification prior to a decision. Such a determination shall be in writing and shall state the facts on which it is based.

If the Protest Official or his designee concludes that the Submitter filing the protest has established a basis for protest, the Protest Official or his designee will determine what remedial steps, if any, are necessary or appropriate to address the issues raised in the protest. Such steps may include, without limitation, submitting the issue to WSDOT's selection committee to determine whether the list of Submitters selected to submit proposals should be revised, withdrawing or revising the decisions, issuing a new RFQ or taking other appropriate actions.

If the protest is denied, the protesting Submitter may seek judicial review of WSDOT's decision in Thurston County Superior Court within five days of receiving WSDOT's decision denying the protest. Each party shall bear its own attorney fees, expert witness fees, and all other legal costs.

9.3 Costs and Damages

WSDOT shall not be liable for damages to the Submitter filing the protest or to any participant in the protest, on any basis, express or implied.

Form F

Key Personnel Matrix

Position	Name	Length of Time with Current Employer (Years and Months)	Percent of Time Committed to this Project	Proposed Location of Personnel	References
Project Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax # _____ Email Address: _____
Construction Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax # _____ Email Address: _____
Construction QA Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax # _____ Email Address: _____
Quality Testing Supervisor			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____

Position	Name	Length of Time with Current Employer (Years and Months)	Percent of Time Committed to this Project	Proposed Location of Personnel	References
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax #: _____ Email Address: _____
Design Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax #: _____ Email Address: _____
Structural Design Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax #: _____ Email Address: _____
Design QA Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax #: _____ Email Address: _____

Position	Name	Length of Time with Current Employer (Years and Months)	Percent of Time Committed to this Project	Proposed Location of Personnel	References
Environmental Compliance Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax #: _____ Email Address: _____

Community Involvement/Public Information Manager			Design ____% Construction ____% Total ____%		1)Name: _____ Position: _____ Company or Agency: _____ Phone # () _____ Fax # () _____ Email Address: _____
					2)Name: _____ Position: _____ Company or Agency: _____ Phone #: _____ Fax #: _____ Email Address: _____

FORM A

Design-Builder INFORMATION

Submitter: _____

Name of Firm: _____

Year Established: _____ Federal Tax ID No. _____

Telephone No.: _____ Fax No.: _____

Name of Official Representative: _____

Business Organization (check one):

- ☐ Corporation (If yes, then indicate the State and Year of Incorporation): _____
- ☐ Limited Liability Company (if yes, then indicate the State and Year of formation and complete Sections A-F and the Contractor Certification form for each member)
- ☐ Partnership (If yes, complete Sections A-F and the Contractor Certification form for each general partner.)
- ☐ Joint Venture (If yes, complete Sections A-F and the Contractor Certification form for each member.)
- ☐ Other (describe) _____

A. Business Name: _____

B. Business Address:
Headquarters: _____

Office Performing Work: _____

Contact Telephone Number: _____

C. Bonding Capacity:

Total:_____ Available: _____

- D. If the entity is a Limited Liability Company, Joint Venture or Partnership, indicate the name and role of each member firm in the space below. Complete a separate Contractor Information form for each member firm and attach it to the SOQ. Also indicate the name and role of each other financially liable party and attach a separate form.

Names of Member Firms	Role	Financial Liability
-----------------------	------	---------------------

- E. Have any banks refused to lend to the firm in the last two years?

☐ Yes

☐ No

If yes, please explain. _____

- F. Under penalty of perjury, I certify that I am the firm's Official Representative and that, to the best of my knowledge and belief, following reasonable inquiry, the foregoing is true and correct.

By:_____ Print Name: _____

Title:_____ Date:_____

[Please make additional copies of this form as needed.]

FORM B

Design-Builder CERTIFICATION

Submitter: _____

Firm Name: _____

1. Within the past five years, has the firm or any affiliate* ever failed to complete any work it agreed to perform, or had a contract terminated?

☐ Yes

☐ No

If yes, please explain:

2. Is any litigation pending by a project owner against the firm or any affiliate*?

☐ Yes

☐ No

If yes, please explain:

3. Has the firm or any affiliate* or any officer thereof, been indicted or convicted of bid or other contract related crimes or violations (including violations of federal, state or local laws related to fraudulent claims) or any other felony or serious misdemeanor within the past five years?

☐ Yes

☐ No

* Affiliates include the firm's parent company and the firm's subsidiary companies, and any other subsidiary or affiliate of the parent whose experience is cited as the basis for the firm's qualifications.

If yes, please explain:

4. Has the firm or any affiliate* ever sought protection under any provision of any bankruptcy act within the last 10 years?

☐ Yes

☐ No

If yes, please explain:

5. Has the firm or any affiliate* ever been debarred or suspended from performing work for the federal government, any state or local government, or any foreign governmental entity?

☐ Yes

☐ No

If yes, please explain:

6. Has the firm or any affiliate* been assessed liquidated damages or stipulated damages during the past five years on any project (including penalties for nonconforming work as well as completion delay)?

☐ Yes

☐ No

If yes, please explain, including a description of any nonconforming work and a statement regarding the duration of the delay and the cause:

7. Is the firm or any affiliate* currently asserting against any public agency any construction claim(s) in excess of \$100,000, or has it made any such claim(s) against any public agency during the past three years, or have any such claims been taken to arbitration, mediation or litigation during the past five years? For purposes of this question, the term "claim" shall include each separate demand for payment of money or damages arising from work done or to be done by or on behalf of the contractor in connection with a public works contract which was disputed by the public agency, even though the agency may have ultimately agreed to make payment.

☐ Yes

☐ No

If yes, complete the attached form ("Explanation of Answers to Question 7") for each affected project (duplicate if necessary).

8. Has the firm or any affiliate* ever been the subject of any inquiry by any public agency as to whether it has made any false claim or other material misrepresentation?

☐ Yes

☐ No

If yes, as to each such inquiry, state the name of the public agency, the date of the inquiry, the grounds on which the public agency based the inquiry, and the result of the inquiry.

9. Is the firm or any affiliate* under investigation (formal or informal) by any agency of the federal government (e.g. the Justice Department, Securities Exchange Commission, Department of Defense, Federal Trade Commission, etc.) or by any agency of a state or foreign government?

☐ Yes

☐ No

If yes, please explain.

10. Has the firm or any affiliate* ever been issued an environmental citation?

☐ Yes ☐ No

If yes, as to each such citation, state the name of the public agency, the date of the citation, the grounds on which the public agency based the citation, and the result of the citation.

11. Has any construction project performed or managed by the firm or any affiliate* involved repeated or multiple failures to comply with safety rules, regulations, or requirements?

☐ Yes ☐ No

If yes, please identify the team members and the projects, provide an explanation of the circumstances, and provide owner contact information including telephone numbers.

12. Within the past five years, has the firm or any affiliate* been involved as a defendant in any litigation regarding design or construction defects or warranty claims.

☐ Yes ☐ No

If yes, please identify the team members and the projects, provide an explanation of the circumstances, and provide owner contact information including telephone numbers.

Under penalty of perjury, I certify that I am the firm's Official Representative and that, to the best of my knowledge and belief, following reasonable inquiry, the foregoing is true and correct.

By: -----

Print Name: _____

Title: _____

Date: _____

[Please make additional copies of this form and/or attach pages as needed.]

EXPLANATION OF ANSWER TO QUESTION 7 FORM B

Project: _____

Name of Firm: _____

Relationship of Firm to Submitter _____

Name of Owner: _____

Owner Contact (individual's name and phone no.): _____

Original Contract Price (approx.): \$ _____

Current Contract Price (approx.): \$ _____

Total Outstanding Claims for Price Increases (approx.) \$ _____

Describe claims over \$100,000 resolved without arbitration, mediation or litigation:

Circumstances	Original Amount Claimed	Amount of Settlement

Describe disputes taken to arbitration, mediation or litigation:

Dispute (include amount)	Resolution (include amount)

[DUPLICATE AS NECESSARY]

FORM C
CONTRACTOR SAFETY STATISTICS

Submitter's Name: _____

Firm Name: _____

Year	Incident Rate	Lost Work Day Index	Cost of Accident per Employee	Experience Modification Rating	No. of Fatalities	No. of Lost Work Days	No. of Recordable Injuries	No. of Near Misses
2003								
2002								
2001								
2000								
1999								

Incident Rate =
$$\frac{(\text{Number of Injuries and Illnesses}) \times 200,000}{\text{Total Hours Worked}}$$

Lost Work Day Index =
$$\frac{(\text{Number of Lost Work Days}) \times 200,000}{\text{Total Hours Worked}}$$

Cost of Accident per Employee =
$$\frac{\text{Total Cost of Accidents}}{\text{Average Number of Employees}}$$

Experience Modification Rating =
$$\frac{\text{Actual Claims per Year}}{\text{Expected Claims based on Past 3 Year Trending}}$$

Under penalty of perjury, I certify that I am the firm's Official Representative and that, to the best of my knowledge and belief, following reasonable inquiry, the foregoing is true and correct.

By: _____ Print Name: _____

Title: _____ Date: _____

[Please make additional copies of this form and attach additional sheets as needed.]

FORM D

1. Firm(s) Name(s):	2. Title of the project:
3. Contract No.	4. Type: <input type="checkbox"/> Construction <input type="checkbox"/> Design-Build <input type="checkbox"/> Design
5. Name of Prime Contractor:	6. Firm role (joint venture partner, subcontractor, etc.):
7. Owner (Name): Address: Phone: Contact Person: Owner's Design Mgr.: Phone No.: Owner's Construction Mgr.: Phone No.:	8. Total Contract Value (Initial amount): \$ Total Contract Value (Current amount): \$ Work carried out by your own forces (%): Amount of performance bond (supplied by your firm):
9. Duration of the work --Planned (contracted): -- Actual:	10. Year of completion -- Planned (contracted): -- Actual:
11. List of proposed key personnel for Everett HOV Design-Build Project who worked on the example project. Include their experience, role and responsibility and show how this relates to the goals for Everett HOV Design-Build Project.	
12. Describe the nature of work performed by the firm(s) and how this experience relates to the following Everett HOV Design-Build Project goals.: <ol style="list-style-type: none"> <u>Record of an effective team</u> <u>Schedule and budget control</u> <u>Quality Project Management, Design and Construction</u> <u>Environmental Compliance</u> <u>Maintenance of Traffic</u> <u>Community involvement</u> 	
13. Provide list of warranted items and name and phone number of manager administering the warranties for the owner.	

FORM E

SUBMITTER'S ORGANIZATION INFORMATION

SUBMITTER (INDIVIDUAL FIRM/JOINT VENTURE/PARTNERSHIP/LLC)

Name of Entity:

Address:

Contact Name:

Title:

Telephone No.:

Fax No.:

E-Mail:

LOCAL/REGIONAL CONTACT

Name of Entity:

Address:

Contact Name:

Title:

Telephone No.:

Fax No.:

E-Mail:

NAME(S) OF SUBMITTER ENTITY(IES)[illegible]

FORM AA

ACKNOWLEDGMENT OF RECEIPT OF ADDENDA (To be attached to SOQ Cover Letter)

(Name of Submitter)

We hereby acknowledge receipt of the Everett HOV Design-Build Project RFQ dated _____, and subsequent addenda and responses to questions by the Washington State Department of Transportation.

ADDENDUM No.

Date Issued

Response To Questions No.

Date Issued

(Signed)

(Date)

(Printed or Typed Name)

(TITLE)